



Education  
Funding  
Agency

# High needs and hospital education templates: academic year 2014 to 2015

Instructions for local authorities

Version 2

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# Contents

Introduction	4
The High Needs Template (HNT)	5
Key Principles	5
Defining a high needs student aged 16-24	6
Finalising the dedicated schools grant and place funding:	6
Important information about how to count the place information you need to provide in the HNT	7
How we recommend the HNT is used	8
Summary	10
New Institutions & Adjustments	12
Recording an adjustment	13
Institution closed/closing	13
School(s) converting to academy (new LAESTAB number)	14
Change of other details/ Correction of previous error	14
Institution amalgamation	15
New Free School	15
New Institution	16
2014 to 2015 high needs places	17
Stage 1: Submission Form	20
Stage 2: Submission Form	21
The Collaborative High Needs Template	26
Introduction	26
How we recommend the Collaborative High Needs Template is used	26
The Hospital Education Template (HET)	27

Introduction	27
Collecting hospital education information	27
Key Principles – Hospital Education	28
Defining your baseline	28
How we recommend the HET is used	30
Summary	32
New Institutions & Adjustments	32
Hospital Education Return	33
Submissions Form	34
Annex A – Enabling automatic calculations and macros	38
Turning automatic calculation on	38

## Introduction

The purpose of these instructions is to support local authorities with returning high needs place numbers and hospital education information for the academic year 2014 to 2015. We will use the information returned to calculate the high needs place funding and hospital education allocations for institutions and local authorities.

We issued Version 3 of the high needs and hospital education templates to local authority Directors of Children's Services (DCS), finance and special educational needs (SEN) colleagues on 3 December. We have updated the high needs template to include local authority post 16 actuals for Further Education (FE) institutions, commercial and charitable providers and independent specialist providers for the academic year 2012 to 2013; and updated both templates to include the format for making a submission to support the return. This will simplify the process for authorities that make a submission.

We are therefore re-issuing Version 2 of the instructions issued in October to reflect the updates. We have also included the information to support a local authority submission, which has already been published separately in early November.

We ask all local authorities to read this document fully and refer to the key principles when completing your template and return by 23 December 2013 to the email address shown in the template.

There are three templates described in this document:

- **The High Needs Template (HNT):** to be completed by **each local authority** to return to the EFA their place numbers for the academic year 2014 to 2015, for all institutions except those that only have hospital education places.
- **The Collaborative High Needs Template (CHNT):** to be completed by **one local authority in a group** of authorities who wish their collective place number returns to be treated as a collaborative response.
- **The Hospital Education Template (HET):** to be completed by **each local authority** to return to the EFA any changes to the number of hospital education places for the financial year 2014 to 2015, and any adjustments to the relevant hospital education services expenditure.

We have launched a [high needs web page](#) to improve access to information by local authorities and institutions and recommend that you visit the page regularly. You can access the timetable and process for implementing the 2014 to 2015 high needs place funding arrangements and additional information that brings together the answers to questions we are often asked by local authority staff and institutions on this process. This includes information, mainly relating to post 16 high needs provision, on Elements 1, 2 and 3; contracting arrangements; SEN reforms; and looking ahead to 2014 to 2015.

# The High Needs Template (HNT)

## Key Principles

Local authorities are asked to note the following before completing the high needs template (HNT) and / or deciding whether to make a submission:

1. The recommended approach to completing the HNT is different for schools and post-school institutions (specifically FE institutions, including charitable and commercial providers, and independent specialist providers).
2. For schools, the place numbers agreed for the academic year 2013 to 2014 should be the default place numbers for the academic year 2014 to 2015, adjusted only where there are significant changes that local authorities know will happen.
3. For post-school institutions, (FE institutions, charitable and commercial providers (CCPs), and Independent Specialist Providers (ISPs)) and non-maintained special schools (NMSS) **actual** high needs pupils or students from the local authority attending institutions in the academic year 2013 to 2014 should be the default place numbers for the academic year 2014 to 2015, adjusted only where there are significant changes that local authorities know will happen. This is because 2013 to 2014 was the first year of the new system and we know that many of the local authority forecasts made in February 2013 have changed as commissioning has been completed.
4. There is no scope for local authorities to identify in the template places that are not specific to an institution because institutions need appropriate base funding within their budgets for the academic year 2014 to 2015. Authorities can change the distribution of places across pre and post-16 as long as the total number remains within their combined pre and post-16 baseline, or within the collective baseline of a joint local authority return.
5. In the case of pupil referral units and other forms of alternative provision (AP), where the number of high needs pupils or students attending the institution does not reflect the places needed for the entire academic year 2013 to 2014, the local authority should agree with the institution an appropriate number of places that takes account of the changing pattern of provision across the year.
6. We will use the completed templates and any subsequent submissions to identify where it would be appropriate for the cost of any increase in places to be met from an individual authority's high needs allocation and where it would be appropriate for all authorities collectively to share the cost.
7. We will also use the completed templates, including the reasons provided by the local authority to explain why the 2014 to 2015 institution place number differs from the baseline, as part of the assessment process for institution exceptional cases submitted in

January. Local authorities should therefore provide reasons in the template for all cases where there is a difference with the baseline.

8. Local authorities have the opportunity to collaborate in groups and share the cost of any increase in places identified by individual authorities.

9. The total national high needs budget for the financial year 2014 to 2015 has yet to be agreed and we are working on the expectation that resources will continue to be tight and increases in some allocations will need to be balanced by reductions in others.

## **Defining a high needs student aged 16-24**

10. For funding purposes, a high needs student is defined as a young person aged 16-18 who requires additional support costing over £6,000 and any young person aged 19-24 subject to a Learning Difficulty Assessment (LDA), or, in future, an Education Health and Care (EHC) Plan who requires additional support costing over £6,000. Funding for such high needs students, aged 16 to 24, consists of both place funding (Elements 1 and 2) and top-up funding (Element 3).

11. Institutions are not funded in the same way for students who require additional support costing less than £6,000. Institutions do not receive Elements 2 and 3 for these students and local authorities do not commission places or provide specific additional funding. Further information is provided in an [overview document](#) and in the EFA's post-16 funding guidance.

12. From August 2014 this definition will not apply to post 16 students in special schools (maintained and non-maintained) and special academies. They will be funded at £10,000 per place instead of the separate Elements 1 and 2, and high needs students in these institutions will be those for whom the school or academy receives top-up funding (Element 3).

## **Finalising the dedicated schools grant and place funding:**

13. We will announce by 20 December initial allocations of the high needs element of the dedicated schools grant (DSG) to all local authorities. We will take into account new data we will have on numbers and spend in the academic year 2012 to 2013. These allocations will be indicative.

14. We will finalise by the end March allocations of place-funding for 2014 to 2015 for institutions based on the data in local authority templates, taking into account any submissions from institutions.

15. We will publish by the end March final DSG high needs allocations for 2014 to 2015 taking into account the completed templates and any accompanying submissions.

16. We expect all local authorities to:

- discuss with institutions and inform them of the place numbers prior to returning the completed template;
- return the completed template, even if there are no changes to the distribution of places compared to the allocated academic year 2013 to 2014 numbers;
- either return their own template, or return their template as part of a collaborative response from a group of authorities working together. This will be valuable where collaborating authorities want to re-distribute places across a number of authorities; and
- operate initially, individually or in groups, on the basis that overall numbers of high needs places should not increase, except where pupils or students are already occupying unfunded places this year. Local authorities should in the first place look to take out places that are unoccupied in order to balance any necessary increase in places.

## **Important information about how to count the place information you need to provide in the HNT**

17. The place information local authorities need to provide in the HNT must be counted as follows.

### **For pre-16 high needs places, excluding pre-16 places at non-maintained special schools:**

18. Local authorities must provide the total number of pre-16 high needs places for the 2014 to 2015 school academic year at each institution situated in their own geographical area.

19. The figures must include places which have been or may be commissioned in such institutions by other Local authorities – not just those which your local authority is planning to use. For maintained pupil referral units (PRUs) and AP academies the figures should also include places that may be commissioned by schools and other academies directly. The figures should also include pre-16 high needs places at free schools and other non-recoupment academies situated in your authority. You should not provide information on high needs places at pre-16 institutions which your local authority has commissioned or may commission in other local authority areas. These will be covered in the HNT returns submitted by the relevant local authorities.

## **For pre-16 places at non-maintained special schools (NMSS), and post-16 places in all institutions**

20. Local authorities must provide the number of such high needs places for the 2014 to 2015 school academic year (for NMSS) or for the 2014 to 2015 FE academic year (for post-16), based on actual high needs pupil and student numbers in the relevant 2013 to 2014 school/FE academic year, irrespective of whether or not they are situated in your own authority area.

21. Therefore, for such institutions situated in your authority area, your figures should exclude places which will be commissioned by other local authorities. These will be covered in the HNT submitted by the relevant local authorities.

## **How we recommend the HNT is used**

22. The HNT includes five different sheets. The Summary, the New Institutions & Adjustments and the 2014 to 2015 high needs places will be visible at all times. Stage 1 and Stage 2 will appear depending on what changes you make to the 2014 to 2015 high needs places sheet.

23. We recommend the HNT is used in the following way:

24. Please ensure that automatic calculation and macros are enabled before you start using the HNT. See Annex A for detailed instructions on how to enable these functions.

### **Step 1**

25. Review the list of institutions prepopulated in the 2014 to 2015 high needs places sheet. The data shown for pre 16 is the academic year 2013 to 2014 high needs places agreed with the EFA, which were sent to you in July. For post 16, the data is the academic year 2013 to 2014 high needs places numbers agreed with the EFA, updated with the 2012 to 2013 R14 Individualised Learner Record (ILR) and Learners with Learning Difficulties and/or Disabilities 2012 to 2013 data available to us on 22 November 2013 for FE institutions, CCPs and ISPs.

26. The list of institutions will match the provision of places for 2013 to 2014.

27. As notified in the 4 October version of this document, the following changes were also made to the 2013 to 2014 high needs places numbers:

- Institutions catering solely for under-5s and independent AP have been removed from the list, as these are not required to be funded through the high needs funding system and should not have been included originally; and
- Free schools that have opened and are being funded for places during the 2013 to 2014 academic year have been added to the list. Places in these schools form



part of the baseline and future places must be identified on the same basis as for other academies in the area. Special and AP free schools have been opened on the basis that local authorities (and other schools, in the case of AP) have said they will commission places in these schools. If the free schools are substituting for other provision, local authorities should identify in their 2014 to 2015 high needs places where the number of places is reducing elsewhere for the 2014 to 2015 academic year.

## Step 2

28. Based on the provision commissioned by local authorities in the academic year 2013 to 2014, and any significant changes in provision that the local authority is planning for the academic year 2014 to 2015, use the New Institutions & Adjustments sheet to record changes where the list of institutions does not reflect all institutions for which place funding is required.

29. Please see the start of this section for important information on the counting basis that must be used for different types of institutions.

## Step 3

30. All institution changes recorded on the New Institutions & Adjustments sheet are automatically reflected in the institution list shown on the 2014 to 2015 high needs places sheet.

31. The sheet will, by default, automatically populate the blue cells in the **2014 to 2015 places column**. These pre-populated figures will be the 2013 to 2014 pre 16 figures and the post 16 updated baseline, included in the HNT. Once you are content with the list of institutions shown, you should review the academic year 2013 to 2014 post-16 places and the academic year 2014 to 2015 pre-and post-16 places for each institution and, where necessary, amend the automatically populated default values.

## Step 4

32. Navigate to the Summary sheet where you can review the total 2014 to 2015 high needs places.

33. If the total numbers you have entered into the HNT are above or below the prepopulated totals from 2013 to 2014, you may be requested to complete a Stage 1 submission, and/or a Stage 2 submission. The content and appearance will depend on whether your total 2014 to 2015 place numbers have exceeded, reduced or remained flat compared to the academic year 2013 to 2014 place numbers.

34. If the total numbers you have entered are the same as the prepopulated totals from 2013 to 2014, you may submit the template by following the steps below:

- complete the DCS declaration in **rows 32 to 35** and tick the check box in the Summary sheet;
- click the button at the top left hand side of the sheet;
- the template will then automatically run some validation checks;
- if the template passes these checks then for Microsoft Outlook users the completed workbook is automatically attached to an email addressed to the appropriate EFA mailbox. Users of other email software will need to save their HNT locally, and attach it to an email in the usual way; and
- if the template fails the validation checks then error messages will appear directing you to take appropriate action. Once all these corrections are complete the email will be able to be sent as described above.

## Step 5

35. Should you be directed by a message in **row 24** of the Summary sheet to complete a Stage 1 submission and / or a message in **row 29** of the Summary sheet to complete a Stage 2 submission; you will be required to complete the appropriate submission form. These forms will automatically appear in the template workbook as additional sheets.

36. **Please note:** Upon opening the V3 template for the first time, some local authority Summary sheets will have a message in **row 29** informing that a Stage 2 submission is required and the Stage 2 submission form will be visible. This is due to updating relevant local authority templates with details of the closure of Hinwick Hall College, which will take effect from 31 July 2014. For local authorities that have places at the college in the 2013 to 2014, these will be included in the combined baseline in cell **K22**. As the college will close on the 31 July 2014 there are no place volumes automatically brought forward into the 2014 to 2015 total place volumes in cell **L22**. There is therefore a difference between the 2013 to 2014 and 2014 to 2015 place volumes, automatically triggering a Stage 2 submission. In doing this we are enabling authorities to have the opportunity to re-distribute student volumes for the academic year 2014 to 2015.

37. Once you have fully completed the requested submission forms, including the respective declarations (see **rows 8 to 13** of the Stage 1 submission form and **rows 11 to 16** of the Stage 2 submission form), you can submit your HNT via email as described above.

38. Each of the sheets and how to use them are described in more detail in the following pages, including how to make a collaborative return.

## Summary

39. A recommendation on how to complete the HNT is provided in **rows 6 to 15**.

40. The table in **rows 7 to 15** must be completed before the HNT is submitted to the EFA. Please record the details of the local authority officer who is the primary contact regarding any questions on your submitted template and a further contact if available.
41. The summary table provides the aggregate total number of high needs places for 2013 to 2014, and shows the total number of high needs places for 2014 to 2015.
42. When you first open this sheet, the 2014 to 2015 places (**Column L**) will be equal to the 2013 to 2014 pre 16 place numbers and the updated post 16 baseline figures (**Column G** plus **Column C**), with the exception for some authorities due to the closure of Hinwick Hall College (explained in paragraph 36). These numbers will automatically update to reflect information you provide in the New Institutions & Adjustments and 2014 to 2015 high needs places sheets. Once you have finalised the completion of these two sheets, return to the Summary sheet and check that the place numbers in the summary table are correct.
43. You will be directed to complete a Stage 1 submission if the post 16 2013 to 2014 total declared actual places (**Column G**) you have entered are above or below the updated post 16 updated baseline (**Column F**). You will not be able to submit the HNT until the Stage 1 form is fully completed and all declaration boxes are ticked.
44. If the total place numbers for 2014 to 2015 are above the 2013 to 2014 place numbers a message will appear in **rows 26 and 27** asking, “Is your local authority returning 2014 to 2015 place numbers that are above your 2013 to 2014 baseline and agreeing to fund the additional places (scenario 6)?” You are required to select “Yes” or “No” from the drop down menu.
45. If your reply to this question is “No”, you will be directed to complete a Stage 2 submission by a message that will appear in **row 29**.
46. If your reply to this question is “Yes”, you are not requested to complete a Stage 2 submission. A message will appear in **row 29** confirming this.
47. If the total place number for 2014 to 2015 is below the 2013 to 2014 place numbers a message will appear in **row 26** asking “Is your local authority reducing place numbers but not requesting to retain the funding released (scenario 7)?” You are required to select “Yes” or “No” from the drop down menu.
48. If your reply to this question is “No” you will be directed to complete a Stage 2 submission by a message that will appear in **row 29**.
49. If your reply to this question is “Yes” you are not requested to complete a Stage 2 submission. A message will appear in **row 29** confirming this.
50. If the total numbers you have entered into the HNT are the same as the prepopulated totals (inclusive of the pre 16 AP and SEN figures and their distribution)

than you may submit the template by completing the DCS declaration in **rows 32 to 35** and by ticking the check box. **Please note:** Should the total numbers you have entered into the HNT be the same as the prepopulated totals, but you have *changed* the distribution of the pre 16 AP and SEN figures (scenario 4), you will be required to complete the Stage 2 submission form.

51. If you wish to make a collaborative return with other local authorities, please declare which authorities are in the group, including your own authority, in **cells D42 to D60**. List first the lead local authority that is responsible for returning the Collaborative High Needs Template. Please refer to the Collaborative High Needs Template section of this document for more details on making a collaborative return.

52. NB: An AP place is equivalent to 0.8 SEN places and so any difference in overall place numbers may not lead directly to the declaration sheet expected. For example, an overall increase of four SEN places would be balanced by a reduction of five AP places.

## New Institutions & Adjustments

53. The purpose of the New Institutions & Adjustments sheet is to allow the user to add new providers and make adjustments to the names and reference information which is initially contained in the 2014 to 2015 high needs places sheet, taken from the 2013 to 2014 places dataset shared with local authorities on 18 July 2013. Recording changes in this way makes it easier for local authorities and the EFA to see the amendments made.

Users should use this page to record:

- institutions you previously had places at, which have now closed;
- maintained schools with high needs provision that have converted to academy status or are expected to do so before the 2014 to 2015 academic year;
- any corrections to information about the institutions from the previous year which was incorrect. In some cases there will be institutions where the local authorities four digits of the LAESTAB number will be between 9991 to 9999 – these must be amended to reflect the correct LAESTAB number (and UPIN where known) as well as correct institution name and type (as well as any change in address details);
- post-16 institutions eligible for place funding that you will be commissioning places from for the first time;
- where two or more institutions that you previously had places at have, or will be, amalgamated;
- institutions extending their age range; and
- new institutions, including those due to open (e.g. new Free School with high needs provision within your local authority that you know is expected to open for pupils in the 2014 to 2015 academic year).

54. Where a new institution is not yet open, it is likely that a LAESTAB number may not be available. In this circumstance enter a LAESTAB made up of the local authority code three digit code followed by 9990. Should there be more than one instance in your local authority, enter sequential numbers i.e. LAESTAB9991, LAESTAB9992.

55. Changes to the list of institutions (e.g. new or closed institutions, mergers) will be reflected in the list of institutions shown in the 2014 to 2015 high needs places sheet.

56. Local authorities should not enter in this section any independent schools or independent AP (pre-16) providers, as these are currently funded solely from local authorities' high needs budgets rather than through the combination of place-led funding from the EFA and top-up funding.

57. **Please note:** For some local authorities the sheet will be automatically populated with a greyed out row for Hinwick Hall College, as explained in paragraph 36.

## Recording an adjustment

58. Please click on the first blank cell in **Column A** ("Reason for adjustment"), then click on the drop-down arrow which appears to the right of the cell and select one of the possible reasons for adjustment shown.

59. When you select one of the options, some or all of the cells in that row will automatically change from grey to light blue. The cells which you may need to fill in are highlighted in light blue. Data should not be entered in cells which remain greyed out.

60. Please note that formulae used in the spread sheet to automatically update the list of institutions shown on the 2014 to 2015 high needs places sheet is using the LAESTAB or UPINs as lookup references, so please ensure you input those correctly. The LAESTAB must be 7 digits and the UPIN 6 digits long. If the LAESTAB or UPIN are not known please record temporary IDs for the providers and clearly state this in the comments column.

61. A comprehensive list of all the reasons for adjustments is provided below, together with step-by-step guidance on how to record these reasons in the sheet. In each case, an explanation describing the adjustment being made must be provided in **Column AE**.

## Institution closed/closing

- Please select this option if an institution appears in the [2014 to 2015 high needs places](#) sheet, but has since closed, or is due to close.
- **Do not** record here post-16 institutions that are still open but from which you no longer commission places; you should record zero places for academic year 2014 to 2015 against these in the [2014 to 2015 high needs places](#) sheet.

- Enter the LAESTAB and/or UPIN (where appropriate) of the institution in **Columns B and C**.
- Please note that if you have recorded any 2014 to 2015 places in the [2014 to 2015 high needs places](#) sheet for an institution you then record as closed, those places will not feed into your total 2014 to 2015 high needs places.

### School(s) converting to academy (new LAESTAB number)

- Please select this option if a maintained school has converted, or is expected to convert, to academy status.
- Please also select this option to record the **merger of two or more maintained schools into an academy or a merger of an academy and a maintained school**.
- Enter the LAESTAB and/or UPIN (where appropriate) of the academy in **Columns B and C**, (even if the institution is keeping the LAESTAB of one of the predecessor institutions).
- Enter the LAESTABs and/or UPINs (where appropriate) of the predecessor school(s) in **Columns D to F and G to I**. If the new establishment is to keep the LAESTAB of one of the predecessor schools the LAESTAB should still be listed as a predecessor here.
- Enter the name of the academy in **Column J** and select the phase, the institution type and the home local authority of the academy from the drop-down lists in **Columns K to N**.
- Please note that after you have recorded the conversion, or expected conversion, of a maintained school into an academy, you will no longer be able to enter places for the predecessor maintained school on the [2014 to 2015 high needs places](#) sheet.

### Change of other details/ Correction of previous error

- Please select this option to amend any 2013 to 2014 information which was incorrect.
- Enter the LAESTAB and/or UPIN (where appropriate) of the institution in question in **Columns B and C**, and then fill in the cells your amendment relates to.
- If you wish to amend the institution LAESTAB or UPIN please input the **correct** numbers in **Columns B and C** and the previous erroneous or temporary numbers in **Columns D and G** respectively.
- Please note that if an institution has both an LAESTAB and a UPIN and you wish to amend only one of the two you will need to provide both correct numbers in **Columns B and C**

- **Please note:** For some local authorities the New Institutions & Adjustments sheet will automatically have an entry in **row 11** recording the closure of Hinwick Hall College at the end of July 2014, as explained in paragraph 36.

## Institution amalgamation

- Please select this option if two or more institutions in your 2013 to 2014 baseline information have since amalgamated.
- Enter the LAESTAB and/or UPIN (where appropriate) of the **resultant** institution in **Columns B and C** (even if the institution is keeping the LAESTAB of one of the predecessor institutions).
- Enter the LAESTABs and/or UPINs (where appropriate) of the predecessor institution(s) that were part of your baseline in **Columns D to F and G to I**. It is essential that the LAESTABs are entered and are correct, so that the institutions concerned do not appear in the lists in the subsequent sheets of the HNT. If one or more of the predecessor institutions is not part of your baseline and are therefore not shown in the [2014 to 2015 high needs places](#) sheet you will not be required to record their LAESTABS and UPINS in the columns mentioned above. However, please make sure you record this information in the comments **Column (AE)** for reference.
- Enter the name of the new institution in **Column J** and select the phase, the institution type and the home local authority of the institution from the drop-down lists in **Columns K to N**.
- Please note that after you have recorded the amalgamation, or expected amalgamation, of two or more institutions you will no longer be able to enter places for the predecessor institutions on the [2014 to 2015 high needs places](#) sheet.

## New Free School

- Please select this option for any new **free school** with high needs places. Do not enter any free schools that are already included in the [2014 to 2015 high needs places](#) sheet.
- Enter the LAESTAB and/or UPIN (where appropriate) of the free school in **Columns B and C**.
- Enter the name of the new free school in **Column J** and select the phase, the institution type and the home local authority of the school from the drop-down lists in **Columns K to N**.
- Please provide the new school information in **Columns O to AE**. Ensure to provide **at least** the address line, postcode, job title and contact details of the head of the institution or promoter in **Columns T and Y to AC**. Mandatory fields' titles are highlighted in yellow. If you fail to provide this information you will get a message box indicating that all mandatory fields have not been completed.



- Tick the “I agree” checkbox on the top left hand side to confirm that all new institutions you have recorded are eligible to provide education at the stated level and are eligible to receive pre-16 and/or post-16 place funding as appropriate.

## New Institution

- Please select this option for any new maintained school/PRU or academy in your area and any new or existing NMSS or post-16 institution from whom you are commissioning places for the first time (except for free schools, for which you should use the “New Free School” option as described above) and are therefore not shown in the [2014 to 2015 high needs places](#) sheet. Please do not record here any independent school or independent AP providers.
- Please be aware that new post-16 institutions (unless they are academies) will only be funded for education and training directly by the EFA (elements 1 and 2) if they have a minimum of 10 EFA places nationally. Institutions are also required to successfully complete the EFA Specialist Provision Market Entry Application Process that will be published at the end of November on [the high needs web page](#).
- If the number of places confirmed on this return is less than 10, we will need to consider if other local authorities are planning places at the institution. We can only do so once we have received all local authority template returns. If the institution fails to meet either of the requirements (minimum of 10 EFA student places and successfully completed the EFA Specialist Provision Market Entry Application Process), we will make an adjustment to ensure that the funding for these places remains within your element 3 top up funding. You will then need to fund the institution directly.
- Enter the LAESTAB and/or UPIN (where appropriate) of the institution in **Columns B and C**.
- Enter the name of the institution in **Column J** and select its phase, type and home local authority from the drop-down lists in **Columns K to N**.
- Please provide the new institution information in **Columns O to AE**. Ensure you provide **at least** the address line, postcode, job title and contact details of the head of the institution in **Columns T and Y to AC**. Mandatory fields’ titles are highlighted in yellow. If you fail to provide this information you will get a message box indicating that all mandatory fields have not been completed.
- Tick the “I agree” checkbox on the top left hand side to confirm that all new institutions you have recorded are eligible to provide education at the stated level and are eligible to receive pre-16 and/or post-16 funding as appropriate.



## 2014 to 2015 high needs places

62. On this sheet you will need to enter the academic year 2014 to 2015 place numbers for pre and post-16, as well as 2013 to 2014 actual place figures for post-16. The institution list in **Columns A to E** is populated automatically based on your 2013 to 2014 baseline dataset and any adjustments recorded in the New Institutions & Adjustments sheet. DO NOT attempt to add institutions to this sheet. Any changes to the institution list need to be recorded using New Institutions & Adjustments sheet. All changes recorded there will be automatically transferred into the 2014 to 2015 high needs places sheet.

63. Institutions catering solely for under 5 year olds and independent AP have been removed from the list of institutions, as these are not required to be funded for places in the same way as other institutions and should not have been included originally. Places likely to be filled by nursery pupils may be recorded in special schools and special academies (since these institutions do not usually distinguish places by age), but otherwise places for nursery pupils should not be included in the list, and should be dealt with by the local authority from its high needs or early years block outside the place plus scheme, in line with guidance given previously.

64. Free schools that have opened and are being funded for places during the 2013 to 2014 academic year have been added to the list, because places in these schools form part of the baseline and future places must be identified on the same basis as for other academies in the area. Special and AP free schools have been opened on the basis that local authorities (and other schools, in the case of AP) have said they will commission places in these schools. If the free schools are substituting for other provision, local authorities should identify in their 2014 to 2015 high needs places where the number of places is reducing elsewhere for the 2014 to 2015 academic year.

65. Institutions you have recorded in the New Institutions & Adjustments sheet as closed or predecessors of amalgamated or converted schools will appear on the 2014 to 2015 high needs places sheet for reference, but will be greyed out. You will be able to see their 2013 to 2014 places for reference but they will not feed into any of the calculations. Please do not enter any places data against these institutions as they will not feed through the calculations. New, amalgamated and converter institutions will appear at the bottom of the list. **Please note:** For some local authorities the sheet will be automatically populated with a greyed out row for Hinwick Hall College, as explained in paragraph 36.

66. The rest of this section outlines what information is included and the data that should be entered in the sheet.

67. **Columns N, Q, T, and W** are prepopulated with the 2013 to 2014 high needs place numbers for each of the institutions included in the 2014 to 2015 high needs places

sheet. **Columns Z and AD** are prepopulated with the updated post 16 baseline for each of the institutions included in the 2014 to 2015 high needs places sheet. Please note that for any **new** institutions you have recorded in the New Institutions & Adjustments sheet their prepopulated place number will be 0. For any schools converted to an academy status their place number will be equal to the number of places in the predecessor school. For any **amalgamated** institutions their place number will be equal to the sum of the places in the predecessor institutions.

68. **Columns AA and AE** show the updated baseline place numbers for post-16. Please review and update this column to show the actual numbers of post-16 high needs students you have placed in each institution in the 2013 to 2014 academic year. The place numbers that should be entered are where actual high needs students have been placed at the institution, and top-up funding has been agreed (although the amount may still be under negotiation).

69. NB: In 2013 to 2014 we agreed a total number of pre- and post-16 places in schools and academies. If the 2013 to 2014 balance of places does not reflect the balance of places at the school or academy in 2014 to 2015, you may re-balance the place numbers between pre and post-16 while retaining the total number of places. Similarly, the overall total of pre- and post-16 numbers in the local authority's baseline should remain as it is, unless a significant overall increase has occurred, but the balance between pre- and post-16 places may change. Changes from the baseline to actual 2013 to 2014 academic year numbers are most likely to be needed for FE colleges and independent specialist providers.

70. If you wish to alter any place number to reflect actual places commissioned in the academic year 2013 to 2014, click on the relevant cell and type in the new figure, thus overwriting the formula previously contained in the cell. Please note that blank cells will be treated as zeros unless another value is entered.

71. The light blue cells in **Columns O, R, U, X, AB and AF** include the 2014 to 2015 high needs places and are prepopulated with the 2013 to 2014 place numbers and with any changes made to the 2013 to 2014 post-16 place numbers to reflect actual student places. In most cases we expect the academic year 2013 to 2014 place numbers, as amended in the case of post-16 places, to be the basis for place funding in the academic year 2014 to 2015. If there are significant changes, however, and you wish to alter any place number for the academic year 2014 to 2015, click on the relevant cell and type in the new figure, thus overwriting the formula previously contained in the cell. Please note that blank cells will be treated as zeros unless another value is entered. If you no longer intend to commission post-16 or non-maintained special school places in one of the institutions in the list, please enter 0 places.

72. If at any point you wish to reset the place numbers in these columns to the original 2013 to 2014 pre 16 place numbers and the updated post 16 baseline place numbers,

you can click on the button on the left hand side of the sheet. Please note that this will essentially overwrite any data that you may have entered manually into the light blue cells.

73. **IMPORTANT NOTE 1:** The **pre-16** places data (excluding for NMSS) that you enter should record the total number of **pre-16** high needs places at each institution located within your local authority, and on the school academic year of September to August. However, for pre-16 NMSS the figures you should record are the total number of places your local authority has commissioned and any significant changes already planned for the academic year 2014 to 2015. Therefore please ensure that the numbers input in **Columns O, R, U and X** for pre-16 places other than NMSS are the total number of places in each institution. For pre-16 NMSS the numbers to be input in the same columns should be the number of places your local authority is commissioning at each institution.

74. **IMPORTANT NOTE 2:** The **post-16** places data that you enter for all relevant institutions (including NMSS) should record the total number of places your local authority has commissioned and any significant changes planned for the FE academic year 2014 to 2015. Therefore please ensure that the numbers input in **Columns AA, AB, AE and AF** are the total number of places the local authority is commissioning at each institution, excluding any places commissioned by other local authorities.

75. The light purple cells in **Columns P, S, V, Y, AC and AG** are automatically calculated and represent the difference between your 2014 to 2015 high needs place numbers and your 2013 to 2014 baseline high needs place numbers.

76. **Columns AH to AT** are automatically calculated and show the aggregate 2013 to 2014 and 2014 to 2015 pre-16 SEN and AP, post-16 and total high needs places as well as the difference between the two academic years.

### Sections of this sheet activated in November 2013

77. **Columns AU to BA** show any differences between the 2014 to 2015 proposed place numbers and 2013 to 2014 pre16 total high needs places and the post 16 2013 to 2014 actual places and enable the recording for the reasons for any differences.

78. **Column AU** calculates the percentage difference for the 2014 to 2015 and the 2013 to 2014 total pre-16 high needs place numbers. **Columns AV and AW** enable you to record the rationale for the differences calculated in **Column AU**.

79. **Column AX** has been prepopulated with the final 2012 to 2013 ILR data and LLDD data available to us on 22 November.

80. **Column AY** calculates the difference between the 2014 to 2015 post-16 high needs places and the actual 2013 to 2014 post-16 data returned by local authorities.

**Columns AZ and BA** enables you to record the rationale for any differences between the 2014 to 2015 post-16 high needs places and the actual 2013 to 2014 post-16 data and enable the completion of the return for the 23 December 2013.

## Stage 1: Submission Form

81. **Row 24** on the Summary sheet will indicate if you need to progress to Stage 1.
82. You must complete Stage 1 if the declared 2013 to 2014 post 16 actuals are above or below the 2012 to 2013 post 16 numbers shown in your template.
83. You do not complete Stage 1 if the declared 2013 to 2014 post 16 actuals are the same as the 2012 to 2013 post 16 numbers shown in your template.
84. Local authorities should refer to the Key Principles in paragraph 1 to 9 before proceeding to this stage.
85. **Rows 4 to 6** show a summary of the numbers applicable to the submission for Stage 1.
86. Local authorities must complete all the information in **rows 8 to 13** before submitting the completed template.

### Evidencing the request:

87. Local authorities must provide an explanation of the process undertaken to collate and verify the post 16 actuals you are returning (**rows 22 to 43**); and
88. Reasons for the difference between the 2012 to 2013 numbers and the declared 2013 to 2014 actuals (**rows 49 to 70**). Where the difference is an increase, we expect evidence to show:
- a clear trend of significantly increased high needs places across the 5-25 age range, evidenced by independently published data such as statistical first releases or other verifiable evidence, or evidence of patterns of regional migration;
  - a breakdown of continuing and new students and taking into account leavers;
  - that displacement from other provision has been fully taken into account when referencing new provision, reorganisation or movement between institutions (e.g. from special schools to colleges); and
  - capital funding awarded (e.g. from the Demographic Growth Capital Fund (DGCF)), where there is clear evidence of new provision to meet increased demand.

89. Local authorities have the opportunity to provide a statistical annex to support the written submission (**rows 77 to 107**).

90. Local authorities are asked to note the character limit when entering written evidence into the respective sections.

## Assessing Stage 1 Requests

91. The EFA will scrutinise the declared 2013 to 2014 actuals against:

- the explanations and reasons provided in your Stage 1 submission;
- your 2012 to 2013 actual numbers;
- your allocated numbers for 2013 to 2014; and
- the latest available actual data for 2013 to 2014 on the ILR.

92. Only evidence provided in the submission will be used to assess the request. Local authorities have the opportunity to review, update and submit any material provided in submissions made for the academic year 2013 to 2014.

## Impact of the outcome

93. If we agree the amendment, we will use the new baseline as the starting point for reviewing your academic year 2014 to 2015 place numbers for Stage 2.

94. If we do not agree the amendment, we will use the updated post 16 baseline numbers on the template as the starting point for reviewing your academic year 2014 to 2015 place numbers.

## Stage 2: Submission Form

### Defining your baseline

95. **Row 29** on the Summary sheet will indicate if you need to progress to Stage 2.

96. If you have NOT completed Stage 1, the baseline is the place number shown in cell C22 plus cell F22 on the Summary sheet (2013 to 2014 pre 16 places plus the updated post 16 baseline); or

97. If you HAVE completed Stage 1, then the baseline is the allocated 2013 to 2014 pre 16 places shown in cell C22, plus the 2013 to 2014 total declared actual post 16 places in cell G22.

## Which local authorities need to complete Stage 2?

98. Local authorities should refer to the key principles in paragraph 1 to 9 before proceeding to this stage.

99. You need to complete Stage 2 under scenarios 1-4 below but not scenarios 5-7.

Scenario	Description	Do I need to complete Stage 2?
1	Your single local authority evidenced high needs place numbers significantly exceed the cumulative baseline figure for that authority and these are not part of a collective return	Yes
2	Your collective return from a number of local authorities includes evidence of place numbers that significantly exceed the cumulative baseline figure for the authorities and therefore the collective submission does not balance the baseline places across the authorities	Yes
3	Your local authority is reducing place numbers and requesting that it should retain the funding released due to a re-organisation of provision	Yes
4	Your local authority is returning academic year 2014 to 2015 place numbers that are in line with your overall baseline agreed with the EFA but within this total you have an increase in SEN and a reduction in Alternative Provision places, or vice versa	Yes
5	Your local authority is returning 2014 to 2015 place numbers that are equal to your 2013 to 2014 baseline	No
6	Your local authority is returning 2014 to 2015 place numbers that are above your 2013 to 2014 baseline and agreeing to fund the additional places	No
7	Your local authority is reducing place numbers but is not requesting to retain the funding released	No

## Evidencing the change and potential outcome

100. The local authority must provide:

- Fully completed **rows 11 to 17**;
- A completed '2014 to 2015 place numbers' sheet in the high needs template, detailing the reason for changes to individual pre and post 16 institutions place numbers for the academic year 2014 to 2015; and
- An explanation of the process to collate and verify the post 16 actuals you are returning.

101. Local authorities have the opportunity to provide a statistical annex to support the written submission (**rows 73 to 104**).

102. Local authorities are asked to note the character limit when entering written evidence into the respective sections.

103. The following table provides a list of criteria one or more of which the local authority will need to evidence to secure a change in allocation outcome, under each scenario.

Scenario	Criteria the local authority must evidence	Potential Outcome
1 and 2	<p>Clear trend of significantly<sup>1</sup> increased high needs places across the 5-25 age range, evidenced by independently published data such as statistical first releases or other verifiable evidence, including a breakdown of continuing and new students and taking into account leavers; this could also include patterns of regional migration.</p> <p>That where the increase is due to new provision, reorganisation or movement between institutions (i.e. from special schools to colleges), displacement from other provision has been fully taken into account, e.g. where the new students are moving from.</p> <p>The places did not already exist in the academic year 2013 to 2014 and were</p>	<p>If there is clear evidence to support the 2014 to 2015 place numbers we will agree to fund some or all of the additional places requested</p> <p>Where the EFA does not agree to fund the additional places requested, the authority making the submission will be required to fund the places as detailed on the HNT.</p>

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<sup>1</sup> Increases should take into account any additional places identified through increases in the general cohort.

Scenario	Criteria the local authority must evidence	Potential Outcome
	<p>centrally funded by your authority (e.g. post-16 places agreed during the year; special unit /AP places at an academy not identified on the December 2012 return.</p> <p>Capital funding awarded (e.g. from the Demographic Growth Capital Fund (DGCF)), where there is clear evidence of new provision to meet increased demand.</p>	
3	<p>The local authority is closing places, but will be providing for the same (or additional) number of pupils through other provision.</p> <p>That the re-organisation will bring benefits in terms of increased choice, better outcomes or cost effectiveness.</p> <p>High needs places in the academic year 2013 to 2014 were recorded in a maintained school or academy, but should have been local authority central provision (e.g. a special unit at a school or academy identified on the December 2012 return, but which is actually local authority central provision, such as a service for the hearing impaired).</p> <p>High needs places in the academic year 2013 to 2014 were recorded, but don't exist (e.g. AP places double counted as hospital education in the authority's original return).</p>	<p>If there is clear evidence to support the 2014 to 2015 place numbers we will agree to the local authority retaining some or all of the funding requested</p>
4	<p>Where you have an increase in one sector (SEN or AP), and a decrease in the other, and wish to make a case under both Scenario 1 or 2 and 3, you should provide separate evidence for each</p>	<p>If there is clear evidence to support the 2014 to 2015 place numbers we will agree to the change. Where there is not clear evidence. the authority will</p>



Scenario	Criteria the local authority must evidence	Potential Outcome
	element.	not retain any of the funding

## Assessing the change

104. In addition to the evidence provided against the criteria above, we will scrutinise each local authority's place numbers for 2014 to 2015 against:

- declared 2013 to 2014 actuals for post-school institutions;
- 2012 to 2013 full year numbers from the ILR;
- School census numbers from 2012 to 2013;
- allocated numbers for 2013 to 2014; and
- the latest available actual data for 2013 to 2014.

# The Collaborative High Needs Template

## Introduction

105. The purpose of the Collaborative High Needs template is for local authorities to inform the EFA that their template is part of a collaborative response from a group of local authorities working together. This will be valuable where collaborating authorities want to re-distribute places (but not to increase the overall number of places compared to the 2013 to 2014 academic year).

## How we recommend the Collaborative High Needs Template is used

106. The Collaborative High Needs Template contains a Summary sheet and the final declaration sheets.

107. We recommend the template is completed in the following way:

### Step 1

108. Navigate to the Summary sheet and select the name of the lead local authority that is responsible for submitting this template from the drop down list in **cell C9**. Please note that this template needs to be returned **ONLY** once by the lead local authority. The local authority number will be populated automatically. Please also provide the information requested in **cells C11 to C13**.

### Step 2

109. Please select the names of the local authorities you are jointly submitting this form with from the drop down list in **Column B** of the collaborative high needs places table. Their 2013 to 2014 baseline places in **Columns C to E** will be populated automatically. The total 2013 to 2014 high needs places will be calculated automatically in **Column G**. Subsequently, please provide the 2014 to 2015 pre-and post-16 high needs places for all selected local authorities in **Columns H to J** of the collaborative table. The total 2014 to 2015 high needs places will be calculated automatically in **Column K**.

### Step 3

110. Review the collective total 2014 to 2015 high needs places and once you are happy that the place numbers are the best available assessment on 23 December click the button at the top of the sheet to submit your template to the EFA via email. Please note that users of other email software will need to save their Collaborative High Needs template locally, and attach it to an email in the usual way.

# The Hospital Education Template (HET)

## Introduction

111. The purpose of the HET is for local authorities to review the distribution of hospital education places in each institution, on the basis of which their budget share will be calculated, and the expenditure on hospital education services that the local authority holds as a central budget, and to return to the EFA the information needed to make relevant adjustments to the high needs element of local authorities' DSG allocations.

112. We are dealing with hospital education on a financial year rather than an academic year basis, because most of it will be planned on a financial year basis by local authorities.

113. 'Hospital education' is defined in the School and Early Years Finance (England) Regulations as education provided at a community special school or foundation special school established in a hospital (usually called a hospital school), or under any arrangements made by the local authority under section 19 of the 1996 Act (exceptional provision of education) (normally provision in PRUs or services centrally managed by the local authority), where the child is being provided with such education by reason of a decision made by a medical practitioner.

114. The difference between a hospital education place and other high needs places, which may also be in the same institution, is that they are filled by a pupil who is attending the institution because a doctor or other medical practitioner says they should be there because of their health care needs. These are not SEN or AP places that local authorities commission directly for their children and young people (for which the institution might expect to receive top-up funding).

115. The same definitions as in the regulations are used by the EFA in determining the funding for academies that have hospital education places.

## Collecting hospital education information

116. In 2012 we collected information from local authorities on their: hospital school budget; other hospital education places; and their hospital education services budget. This data collection informed the calculation of a top slice of £8.50 per pupil from the DSG allocation to all local authorities, and funds were then included in the high needs element of each local authority's DSG allocation according to each local authority's return. This was a one-off adjustment to the high needs baseline for each local authority, to remove the need for them to recoup from other local authorities the costs of hospital education for individual children and young people.

117. The HET is separate from the HNT and only contains information about hospital education places and expenditure. This means that institutions that have more than one type of place for 2014 to 2015 should be included on both templates, but there should be no duplication of place information between the two.

118. As with other high needs places, we expect local authorities to agree with institutions any adjustments to the number of hospital education places, based on the number of places funded in 2013 to 2014, and any significant planned increases or reductions that the local authority is aware of for the year 2014 to 2015. Changes may occur, for example, if a new children's ward is opening in a hospital requiring more hospital education places in the hospital school, or where the pattern of associated health care provision is changing so that places are no longer required.

## **Key Principles – Hospital Education**

119. Local authorities are asked to note the following before completing the template and/or deciding whether to make a submission:

- We will use the completed HET and submissions to identify where it would be appropriate for the cost of any increases to be shared by local authorities collectively.
- The total national budget for the financial year 2014 to 2015 has yet to be agreed and we are working on the expectation that resources will continue to be tight and increases in some allocations will need to be balanced by reductions in others.
- Local authorities are strongly advised to hold discussions with relevant institutions prior to returning the completed template.
- The HET should be completed and returned alongside the high needs template by 23 December 2013.
- You will be requested to return a submission if the total cost of your return for 2014 to 2015 exceeds that of year 2013 to 2014.

## **Defining your baseline**

120. The financial year 2013 to 2014 baseline position for hospital education is derived mainly from the returns made by local authorities last year and is shown in the HET issued by the EFA. The baseline information is: (a) expenditure on institutions formally designated as special schools located in a hospital (b) hospital education places at other institutions – these are usually designated as pupil referral units; and (c) expenditure on hospital education services that do not take the form of places. In some cases these returns may have been adjusted following information received by the EFA earlier this year.

## **Hospital schools**

121. Hospital schools were identified through local authority returns last year, and the allocation was taken from local authorities' s251 budget statement for 2012 to 2013. This amount is shown in the '2013-14 allocation'.

122. The current finance regulations require local authorities to fund hospital schools on the basis of places, using the same amount per place as in the financial year 2012 to 2013. A similar requirement will apply for the 2014-15 financial year. For hospital schools, local authorities should enter the number of places that they have funded in the 2013 to 2014 financial year. This number will then copy across to the column for the 2014 to 2015 financial year. Local authorities can change this number if the planned number of places is increasing or decreasing in the 2014 to 2015 financial year.

123. Hospital school places are not specific to any particular age group. The figures should include places for young people aged both pre- and post-16 and can include places for under 5 year olds.

## **Hospital education places (other than in hospital schools)**

124. Hospital education places are also not specific to any particular age group so the figures provided on the template should include pre- and post-16 places, with no differentiation between the two.

125. The value of a place will vary considerably between institutions. As the regulations specify that hospital education places should be funded in 2014 to 2015 at the same level as in 2013 to 2014, local authorities should use the same definition of what constitutes a place, always ensuring that such places comply with the definition of hospital education in the Introduction.

126. For the purpose of the HET, 'Other' Hospital Education place numbers are for those places at maintained institutions and academies other than hospital schools, and should be based on the financial year 2014 to 2015. Where information about places in these institutions provided to us for the 2013 to 2014 is missing or incorrect, local authorities should provide that information.

## **Hospital education services**

127. The information required on hospital education services relates only to provision in the form of a service managed directly by the local authority, for children and young people who receive the service as a result of a decision by a medical practitioner relating to their health care needs.

128. Where a discrete hospital education service such as home tuition is provided only to children and young people living in the local authority area, expenditure should be

excluded from the HET. Where a hospital education service is provided to children and young people living outside the local authority area, i.e. on a regional or national basis, as well as those living in the area, the expenditure should be included. This distinction does not apply to hospital education places or the allocation amounts for institutions; it only applies to central local authority services expenditure.

129. We would expect the planned costs of hospital education services to be based on the same flat cash assumptions as for places, with changes only where the service is shrinking or expanding.

## **Independent hospital education**

130. The returns last year did not seek information on the local authority's expenditure on independent hospital education providers, either in the form of places or central expenditure, and therefore any such expenditure remained in local authorities' DSG baseline. Independent providers should not be added to the list, and nor should any expenditure on independent hospital education be included. We are currently reviewing how independent hospital education should be handled from 2015 to 2016 onwards. The only hospital education providers who should be listed on the HET, in addition to the local authority itself, are maintained hospital schools, special schools and PRUs, and the equivalent academies and free schools.

## **How we recommend the HET is used**

131. The HET includes four sheets, the Summary, the New Institutions & Adjustments, the Hospital Education Return and Submission Form.

132. We recommend the HET is completed in the following way:

### **Step 1**

133. Review the list of institutions prepopulated in the Hospital Education Return sheet. When you first open the HET, the data shown on this sheet are the year 2013 to 2014 hospital education place numbers, the allocation for any hospital schools (financial year basis) and the local authority's relevant hospital education services expenditure (financial year basis). This information is based on the number of hospital education places in 2012 to 2013 and funding allocated to hospital education services provision in the 2012 to 2013 financial year, as identified by the local authority in its hospital education return last year. Some place numbers have been updated to reflect changes in 2013 to 2014 where local authorities have confirmed these with the EFA. The list of institutions shown should therefore match the provision of places that have been funded in the year 2013 to 2014.

## Step 2

134. Where this list does not reflect the institutions offering hospital education places in the local authority area, use the New Institutions & Adjustments sheet to record changes. In addition, use this sheet to record corrections and changes to the names and other details of institutions.

135. Where a new institution is not yet open, it is likely that a LAESTAB number may not be available. In this circumstance enter a LAESTAB made up of the local authority three digit code followed by 9990. Should there be more than one instance in your local authority, enter sequential numbers i.e. LAESTAB9991, LAESTAB9992.

## Step 3

136. All institution changes you record on the New Institutions & Adjustments sheet will automatically be reflected in the institution list shown on the Hospital Education Return sheet.

137. The sheet will, by default, automatically populate the blue cells where 2014 to 2015 places and services figures should be provided, with the corresponding figures from the year 2013 to 2014. Once you are content with the list of institutions shown, you should then review the 2014 to 2015 places for each institution and, where necessary, amend the automatically populated default values as appropriate. Only significant changes that the local authority knows about should be included. Discussion with hospital schools and other institutions, and where necessary the relevant NHS organisations, are important to make sure that the information returned to the EFA is as accurate as possible.

138. For 'hospital schools', record the 2013 to 2014 financial year and 2014 to 2015 financial year hospital education place numbers at these institutions in **Columns O and P**.

139. For 'Other Hospital Education Places', the place numbers confirmed by the authority are shown in the 2013 to 2014 place number **Column Q**. The actual place number for 2013 to 2014 (**Column R**) and 2014 to 2015 (**Column S**) are pre populated with the confirmed 2013 to 2014 place number and local authorities are may update these values where appropriate.

140. The 'Hospital Education Services' amount allocated for 2013 to 2014 is shown in **Column U**. This figure was confirmed by the local authority last year. This appears in the **2013 to 2014 Column**. Local authorities should provide the total amount to be allocated in the financial year 2014 to 2015 for this service, if it is different from the amount in the **2013 to 2014 Column**.

141. As last year, we are requesting the inclusion of hospital education services expenditure only where the service is provided on a wider basis than to pupils who live in the local authority's own area (i.e. because the pupils are receiving the service while they are in a medical facility located in the local authority). Expenditure on discrete services such as home tuition that are only provided for pupils resident in the local authority should be excluded.

## Step 4

142. Navigate to the Summary sheet where you can review the total 2014 to 2015 hospital schools places, other hospital education places and hospital education services. Review and complete the Submission Form sheet before returning to the summary sheet to submit your completed template.

143. Each of the sheets and how to use them are described in more detail in the following pages.

## Summary

144. **Rows 16 to 21** provide a brief explanation of each sheet in the HET: Summary; New Institutions & Adjustments, Hospital Education Return; and Submissions Form.

145. The table in **rows 7 to 15** must be completed before the HNT is submitted to the EFA. Please record the details of the local authority officer who is the primary contact regarding any questions on your submitted template and a further contact if available.

146. The summary table provides the aggregate hospital schools allocation and places and other hospital education places for 2013 to 2014 and 2014 to 2015. Information on hospital education services spend is also displayed for both years.

147. When you first open this template the 2014 to 2015 places will be equal to your 2013 to 2014 figures. These numbers will automatically update to reflect the information you provide in the New Institutions & Adjustments and Hospital Education Return sheets. Once you have finalised the completion of these two sheets return to the Summary sheet and check that the figures in the summary table are correct.

148. You must complete the Submissions Form sheet before submitting your completed template.

## New Institutions & Adjustments

149. This sheet should be filled out in the same way as the HNT. Changes to the list of institutions (e.g. new or closed institutions, mergers) will be reflected in the list of institutions shown in the Hospital Education Return sheet.



## Hospital Education Return

150. On this sheet you will need to enter your 2013 to 2014 and 2014 to 2015 places for hospital schools, 2014 to 2015 places and hospital education services spend. If the confirmed 2013 to 2014 other hospital education places are incorrect, these will need to be amended in the actual 2013 to 2014 **Column (Column R)**. The institution list in **Columns A to E** is populated automatically based on the 2013 to 2014 baseline dataset and any adjustments recorded in the New Institutions & Adjustments sheet. **DO NOT** attempt to add institutions to this sheet. Any changes to the institution list need to be recorded using New Institutions & Adjustments sheet. All changes made will be automatically transferred into the Hospital Education Return sheet.

151. The baseline information shown in the template for 2013 to 2014 is set and will not change. Local authorities, however, have the opportunity to provide actual 2013 to 2014 funded place numbers for hospital schools and other hospital education places. This will inform the EFA of the actual number of places funded by the local authority.

152. If, after having entered some data in the Hospital Education Return sheet, you then record further adjustments in the New Institutions & Adjustments sheet, the 2014 to 2015 high needs places institution list will have changed accordingly but the data you have entered in the light blue cells will stay in the same place. As such, some or all of that data may now appear against the wrong institutions.

153. **Column N** is prepopulated with the 2013 to 2014 hospital schools allocation and **Column Q** with the 2013 to 2014 other hospital education places for each of the institutions included in the Hospital Education Return sheet. **Column U** is prepopulated with the 2013 to 2014 baseline hospital education services funding total for the local authority.

154. Please note that for any **new institutions** you have recorded in the New Institutions & Adjustments sheet their baseline places will be 0. For any **schools converted to an academy status** their baseline places will be equal to the places of their predecessor school. For any **amalgamated institutions** their baseline places will be equal to sum of the places of their predecessor school included in your baseline.

155. The light blue cells in **Columns R and S** include the proposed 2014 to 2015 other hospital education places (i.e. excluding hospital schools); and 2014 to 2015 education services funding and are also prepopulated with the 2013 to 2014 baseline places numbers. Please record the number of hospital education places in hospital schools at **Columns O and P** respectively. If you wish to alter any figures, click on the relevant cell and type in the proposed figure, thus overwriting the formula previously contained in the cell. Please note that blank cells will be treated as zeros unless another value is entered. If you no longer fund or intend to fund one of the maintained institutions in the list please enter 0 places.

156. The purple cells in **Column T** are automatically calculated and represent the difference between the 2014 to 2015 and your baseline 2013 to 2014 hospital education places. Similarly in **row 14** the purple cells automatically calculate the total local authority allocation and places.

## Submissions Form

157. Local authorities should refer to the Key Principles in paragraph 119 before proceeding to this stage.

158. **Rows 3 to 5** show the proposed 2014 to 2015 returns for hospital school places, other hospital education places (i.e. excluding hospital schools); and education services funding, alongside the 2013 to 2014 baseline figures. This information replicates the figures on the 'Hospital Education Return' sheet.

159. **Row 7 and 8** direct you to this document.

160. **Row 12 to 17** contains the five scenarios listed below. Please select the scenario(s) that match your return. If you select any of Scenario 1, 2 and 3, you must add the evidence and explanation to support each scenario in **row 28 to 49**.

161. You need to make a submission to accompany your return if:

Scenario	Description	Do I need to make a submission
1	Your local authority's hospital education place numbers or costs are increasing overall.	Yes
2	Your local authority's expenditure on hospital education services (not in the form of places) is increasing.	Yes
3	Your local authority is reducing hospital education place numbers or expenditure, and/or expenditure on hospital education services, but requesting that it should retain the funding released because the costs are still being incurred in some other form.	Yes
4	Your local authority is reducing hospital education place numbers or expenditure, and/or expenditure on hospital education services, but is not requesting to retain the funding.	No

Scenario	Description	Do I need to make a submission
5	Your local authority is making a return where the overall places and services expenditure is equal to your 2013 to 2014 baseline.	No

## Evidencing the change and potential outcome

162. The local authority must provide:

- a declaration from the Director of Children's Services (DCS) that the 2014 to 2015 hospital education place numbers and expenditure figures reflect the local authority's best available assessment on 23 December and meet the definition of hospital education (**rows 19 to 22**);
- a completed Hospital Education Return sheet;
- an explanation for the difference between the 2013 to 2014 baseline place numbers/expenditure and the declared 2014 to 2015 figures, providing evidence to support the requested change (**rows 28 to 49**); and
- a completed **row 24**, which confirms you have read this document.

163. Local authorities have the opportunity to provide a statistical annex to support the written submission (**rows 55 to 76**).

164. Local authorities are asked to note the character limit when entering written evidence into the respective sections.

165. The following table provides a list of criteria under each scenario, one or more of which the local authority will need to evidence to secure a change in allocation outcome.

Scenario	Information and evidence the local authority must provide	Potential Outcome
1 and 2	<p>Details of any corrections to the baseline information for 2013 to 2014. This should confirm where different place numbers are actually being funded in the 2013 to 2014 financial year, and the reason for the variance. Similarly, the reason for any variance in hospital education services expenditure should be explained.</p> <p>Where changes in place numbers or</p>	<p>If there is clear evidence to support the 2014 to 2015 submission the EFA will agree to appropriate adjustments to a local authority's' DSG allocations.</p> <p>Where the EFA does not agree to make the adjustments requested, the authority making</p>

Scenario	Information and evidence the local authority must provide	Potential Outcome
	<p>central expenditure are planned for the financial year 2014 to 2015, the local authority should provide evidence of changes in NHS commissioning and organisation that are having or will have an impact on the required educational provision. Information is required to demonstrate that decisions of medical practitioners, or health care commissioning changes, will have an impact on the educational provision required to support children with medical needs. Evidence should include:</p> <ul style="list-style-type: none"> <li>• NHS documentation (e.g. business plans, CCG meeting minutes);</li> <li>• Details of current and projected pupil roll changes;</li> <li>• Information on changes to attendances between years (e.g. total sessions attended by pupils);</li> <li>• Any significant change to the hospital education service provided and the reasons for the change.</li> </ul> <p>If an increase is proposed in other hospital education places (in pupil referral units (PRUs) or other settings such as AP academies), the local authority must provide the funding value of each place in 2013 to 2014. Regulations will require that the value must remain the same in 2014 to 2015.</p>	<p>the submission can still choose to fund the additional places or services as detailed on the HET.</p>

Scenario	Information and evidence the local authority must provide	Potential Outcome
3	An explanation of where a change involves a reduction in the number of hospital education places and/or hospital education services expenditure, but where the local authority will incur similar costs in providing for the same (or an additional) number of pupils through other provision, such as home tuition services.	If there is clear evidence to support the change and a local authority requests to retain some or all of the equivalent funding, the EFA will agree to the change requested.

166. Local authorities have the option to provide a statistical annex (**rows 56 to 77**) to support the return.

167. All information provided in the HET, and the information and evidence provided to support changes, should be discussed with relevant institutions, and agreed with them as far as possible. If any institution does not agree with a proposed change to place numbers, this should be indicated on the template/submission.

168. All 2014 to 2015 place numbers will be compared against the 2013 to 2014 confirmed figure and local authorities must base the need for a submission on this number, and not the actual number of places funded by the authority.

169. Local authorities who are making a submission for an increase in 2014 to 2015 places or expenditure need to provide information in their submission explaining any errors in the baseline derived from incorrect data previously returned.

170. It would also be helpful to include in the information an explanation of any variance between the data provided, data recorded in local authority's section 251 budget statements for the financial year 2013 to 2014, and the latest available census data where relevant (see below).

## Assessing the change

171. In addition to the evidence provided against the criteria above, the EFA will scrutinise each local authority's information against:

- section 251 budget statements; and
- the latest available census data for 2013 to 2014.

## **Annex A – Enabling automatic calculations and macros**

### **Turning automatic calculation on**

If using MS Excel 2003:

1. Click on “Tools”.
2. Scroll down to “Options”.
3. Click on the “Calculation” tab.
4. Select “Automatic”.

If using MS Excel 2007 or 2010:

1. Click on “File”.
2. Click on “Options”.
3. Click on the “Formulas” tab.
4. Click on the Calculation options and select “Automatic”.

### **Enabling macros**

If using MS Excel 2003:

1. Click on “Tools”.
2. Click on ‘Macro”.
3. Click on “Security”.
4. Choose the “Medium” option.
5. Save the setting “OK”.
6. Whenever you re-open the spreadsheet, it will ask if you want to enable macros.

If using MS Excel 2007 or 2010:

1. Click on “File”.
2. Click on “Options”.
3. Click on the “Trust Centre” tab.

4. Click on the “Trust Centre Settings” option and then on the “Macro Settings” tab.
5. Select the “Enable all Macros” option.



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